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09/336,031	06/18/1999	KEVIN CURTIS	2698/36	7183

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EXAMINER
COLBERT, ELLA

ART UNIT	PAPER NUMBER
3624	

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Please find below and/or attached an Office communication concerning this application or proceeding.

PTO-90C (Rev. 10/03)

		Application No.	Applicant(s)
Office Action Summary		09/336,031	CURTIS ET AL.
		Examiner	Art Unit
		Ella Colbert	3624

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE <u>3</u> MONTH(S) FROM
THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed
  after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any
  earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on <u>27 October 2003</u>.

2a)☒ This action is **FINAL**.   2b)☐ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is
closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) <u>1-49</u> is/are pending in the application.

    4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) <u>1-49</u> is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. §§ 119 and 120

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a)☐ All b)☐ Some * c)☐ None of:

      1.☐ Certified copies of the priority documents have been received.

      2.☐ Certified copies of the priority documents have been received in Application No. _____.

      3.☐ Copies of the certified copies of the priority documents have been received in this National Stage
      application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

13)☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application)
since a specific reference was included in the first sentence of the specification or in an Application Data Sheet.
37 CFR 1.78.

    a) ☐ The translation of the foreign language provisional application has been received.

14)☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121 since a specific
reference was included in the first sentence of the specification or in an Application Data Sheet. 37 CFR 1.78.

Attachment(s)

1)☐ Notice of References Cited (PTO-892)

2)☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3)☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) <u>13</u>.

4)☐ Interview Summary (PTO-413) Paper No(s). _____.

5)☐ Notice of Informal Patent Application (PTO-152)

6)☐ Other: _____.

DETAILED ACTION

1. Claims 1-49 are pending in this communication filed 10/22/03 entered as Response, paper no. 12.

2. The IDS filed 10/22/03 is acknowledged and has been entered as paper no. 13.

3. The 35 USC 112, second paragraph rejection of claims 1, 12, 25, 37, 39, 41, and 42 is hereby withdrawn in view of Applicants' convincing argument.

4. The rejection under 35 U.S.C. 101 Double Patenting rejection still applies until a terminal disclaimer is filed upon issue of this application.

Double Patenting

5. 35 U.S.C. § 101 reads as follows:

"Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter or any new and useful improvement thereof, may obtain a patent therefore, subject to the conditions and requirements of this title."

6. The following non-statutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the unjustified or improper timewise extension of the "right to exclude" granted by a patent and to prevent possible harassment by multiple assignees. See *In re Sarett*, 327 F.2d 1005, 140 USPQ 474 (CCPA 1964); *In re Schneller*, 397 F.2d 350, 158 USPQ 210 (CCPA 1968); *In re White*, 405 F.2d 904, 160 USPQ 644 (CCPA 1969); *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225 USPQ 645 (Fed. Cir. 1985); *In re Van Ornum*, 686 F.2d 937, 214 USPQ 761

(CCPA 1982); *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); and *In re*

Thorington, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

7.   Claims 1-49 are provisionally rejected under the judicially created doctrine of

double patenting over claims 1-52 of copending Application No. 09/766,293. This is a

provisional double patenting rejection since the conflicting claims have not yet been

patented.

8.   Claims 1-49 essentially repeat all of the features listed in copending Application

No. 09/766,293. Although the conflicting claims are not identical, they are not

patentably distinct from each other because they recite steps that are substantially the

same and that would have been obvious to one of ordinary skill in the art.

Claims 1-49 essentially repeat all of the features listed in the copending '293

Application and further recites the additional step of normalizing the input symbol to

generate a normalized symbol formatted according to a predetermined structure, which

does not appear in the claims of the above mentioned copending '293 Application.

Claims 1-49 essentially repeat all of the features in the copending '293

Application except the '293 Application has the additional feature of a "categorical

symbol".

However, Reese teaches normalizing the input symbol to generate a normalized

symbol formatted according to a predetermined structure.

Therefore, it would have been obvious to one of ordinary skill in the art at the

time of the invention to perform the step of normalizing the input symbol to generate a

normalized symbol formatted according to a predetermined structure and to modify in

the copending '293 Application because, it would allow all of the master symbols in the

master symbol database to be structured according to the same pre-determined symbol

template (format).

The omission of an element with a corresponding loss of function is an obvious

expedient. See *In re Karlson*, 136 USPQ 184 and *Ex parte Rainu*, 168 USPQ 375.

Instant claim 1, the deletion of "processing a symbol in order to generate at least one of

a master symbol and a categorical symbol" from the copending '293 Application would

have been an obvious expedient as above.

Claims 1-49 essentially repeat all of the features in the copending '293

Application listed above and further recites the additional step of normalizing the input

symbol to generate a normalized symbol formatted according to a predetermined

structure, which does not appear in the claims of the copending '293 Application.

However, Reese teaches the step of normalizing the input symbol to generate a

normalized symbol formatted according to a predetermined structure.

Therefore, it would have been obvious to one of ordinary skill in the art at the

time of the invention to perform the step of generating a normalized symbol formatted

according to a predetermined structure and to modify in the copending '293 Application

because it would allow all of the master symbols in the master symbol database to be

structured according to the same pre-determined symbol template (format).

A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) may be
used to overcome an actual or provisional rejection based on a nonstatutory double
patenting ground provided the conflicting application is shown to be commonly owned
with this application. See 37 CFR 1.130(b).

Effective January 1, 1994, a registered attorney or agent of record may sign a terminal disclaimer. A terminal disclaimer signed by the assignee must fully comply with 37 CFR 3.73(b).

Claim Rejections - 35 USC § 103

9.   The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all

obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

10.   Claims 1-4 are rejected under 35 U.S.C. 103(a) as being unpatentable over (US

6,122,635) Burakoff et al, hereafter Burakoff.

With respect to claim 1, Burakoff teaches, processing a symbol to generate a

master symbol formatted according to a predetermined structure (col. 7, lines 35-45),

determining a unique parent identifier corresponding to the master symbol (col. 4, lines

15-23), storing the parent identifier and the master symbol in a master symbol database

wherein the master symbol is linked to the parent identifier (col. 3, lines 29-34 and col.

4, lines 20-23), and storing at least one information element wherein the at least one

information element is linked to the parent identifier (col. 4, lines 1-10 and col. 6, lines 4-

14). Burakoff did not teach, a master symbol database, however Burakoff's database

could be used to store master symbols. It would have been obvious to one having

ordinary skill in the art at the time the invention was made to have a master symbol

database in view of Burakoff's teachings of a ticker symbol and a database and to

modify in Burakoff because such a modification would allow Burakoff's database to only

store master symbols (ticker symbols) instead of storing the master symbols with the

securities information and other data. A database is by definition a collection of data

stored on a computer storage medium, such as a disk, that can be used for more than one purpose.

With respect claim 2, Burakoff teaches, processing the symbol to generate the master symbol includes the step of applying a set of character rules to the symbol (col. 7, lines 41-50).

With respect to claim 3, Burakoff teaches, processing the symbol to generate the master symbol includes the step of applying a set of process rules to the symbol (col. 3, lines 2-13).

With respect to claim 4, Burakoff teaches, the at least one information element is a document (col. 3, lines 38-51).

11.   Claims 5-11are rejected under 35 U.S.C. 103(a) as being unpatentable over Burakoff in view of (US 5,940,843) Zucknovich et al, hereafter Zucknovich.

With respect to claim 5, Burakoff did not teach, each master symbol is structured according to a symbol template containing at least one symbol field. Zucknovich discloses, each master symbol is structured according to a symbol template containing at least one symbol field (col. 14, lines 23-66 and col. 15, lines 1-5). It would have been obvious to one having ordinary skill in the art at the time the invention was made to have each master symbol structured according to a symbol template containing at least one symbol field and to combine Burakoff's processing a symbol with Zucknovich's each master symbol structured according to a symbol template containing at least one symbol field because such a modification in Burakoff would allow Burakoff to have preset templates for a user or a group of users from a particular company or geographic area and to have the template file opened for the characters to be inserted into the template. Templates are well known in the art for the purpose of being a predesigned document that contains formatting and in many cases, generic text.

With respect to claim 6, Burakoff did not teach, each master symbol includes a symbol segment corresponding to a symbol field defined by the symbol template. Zucknovich discloses, each master symbol includes a symbol segment corresponding a symbol field defined by the symbol template (col. 15, lines 8-45). It would have been obvious to one having ordinary skill in the art at the time the invention was made to have each master symbol include a symbol segment corresponding to a symbol field defined by the symbol template and to combine Burakoff's master symbol with Zucknovich's each master symbol includes a symbol segment corresponding to a symbol field defined by the symbol template because such a modification in Burakoff would allow Burakoff 's system to have a field for at least one ticker symbol defined in a symbol template. Templates are well known in the art for the purpose of being a predesigned document that contains formatting and in many cases, generic text.

With respect to claim 7, Burakoff teaches, each master symbol refers to a security issued by a company (col. 7, lines 35-40).

With respect to claim 8, Burakoff did not teach, the symbol template includes a root symbol field referring to the name of a security and a source symbol field referring to a country in which the security is traded. Zucknovich discloses, the symbol template includes a root symbol field referring to the name of a security and a source symbol field referring to a country in which the security is traded (col. 10, lines 33-65). It would have been obvious to one having ordinary skill in the art at the time the invention was made to have the symbol template includes a root symbol field referring to the name of a security and a source symbol field referring to a country in which the security is traded and to combine Burakoff's process rules to the symbol with Zucknovich's the symbol template includes a root symbol field referring to the name of a security and a source symbol field referring to a country in which the security is traded because such a

modification in Burakoff would allow Burakoff 's system to have a primary field for the name of the security and another field for the country. The root is known in the art as being the main or uppermost level in a hierarchically organized set of information. The root is known as the point from which subsets (in this case source symbol fields) branch in a logical sequence that moves from a broader focus to narrower perspectives.

With respect to claim 9, Burakoff teaches, the step of storing at least one information element includes the steps of generating an information element identifier, storing the information element identifier and the parent identifier so that the parent identifier is linked to the information element identifier, and storing the information element and the information element identifier so that the information element identifier is linked to the information element (col. 3, lines 29-37 and lines 52-65, col. 4, lines 1-10, and col. 8, lines 43-47).

With respect to claim 10, Burakoff teaches, each symbol segment comprises an ASCII (American Standard Code for Information Interchange) string (col. 9, lines 30-40).

With respect to claim 11, Burakoff did not teach, the parent identifier is linked to the information element identifier in a relational database. Zucknovich discloses, the parent identifier is linked to the information element identifier in a relational database (col. 7, lines 5-15). It would have been obvious to one having ordinary skill in the art at the time the invention was made to have the parent identifier linked to the information element identifier in a relational database and to combine Burakoff's master symbol linked to the parent identifier with Zucknovich's parent identifier linked to the information element identifier in a relational database because such a modification in Burakoff would allow Burakoff 's system to have a relational database that allows field searching. Relational databases are well known in the database art as being a database that stores information in tables - rows and columns of data - and conducts searches using

data in specified columns of one table to find additional data in another table. In a

relational database, the rows of a table represent records (collections of information

about separate items) and the columns represent fields (particular attributes of a

record).

Claim Rejections - 35 USC § 103

12.   The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all

obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set
> forth in section 102 of this title, if the differences between the subject matter sought to be patented and
> the prior art are such that the subject matter as a whole would have been obvious at the time the
> invention was made to a person having ordinary skill in the art to which said subject matter pertains.
> Patentability shall not be negatived by the manner in which the invention was made.

13.   Claims 12 –15 are rejected under 35 U.S.C. 103(a) as being unpatentable over

(US 6,122,635) Burakoff et al, hereafter Burakoff in view of (US 6,236,980 B1) Reese.

With respect to claim 12, Burakoff teaches, receiving an information element and

at least an input symbol (col. 7, lines 5-15) and storing at least the parent identifier and

the information element so that the parent identifier is linked to the information element

(col. 4, lines 52-65). Burakoff did not teach, normalizing the input symbol formatted

according to a predetermined structure or searching a master symbol database using a

normalized symbol to find a matching master symbol and linked parent identifier.

Reese discloses, normalizing the input symbol to generate a normalized symbol

formatted according to a predetermined structure (col. 14, lines 22-34) and searching a

master symbol database using a normalized symbol to find a matching master symbol

and linked parent identifier (col.16, lines 20-34 and col. 17, lines 45-50). It would have

been obvious to one having ordinary skill in the art at the time the invention was made

to normalize the input symbol to generate a normalized symbol formatted according to a

predetermined structure and to use the normalized symbol to search the master symbol

database to find the matching master symbol and to combine Burakoff's processing the symbol and storing a parent identifier with Reese's normalized symbol and normalizing the input symbol formatted according to a predetermined structure and using the normalized symbol to search a master symbol database to find the matching master symbol because such a modification in Burakoff would allow a user to enter the ticker symbol with the parent ID being the association found within the database.

With respect to claim 13, Burakoff teaches, processing the input symbol to generate the normalized symbol includes applying a set of character rules to the input symbol (col. col. 7, lines 41-50). Burakoff did not teach the symbol is a normalized symbol. Reese teaches, a normalized symbol (col. 14, lines 22-34, col. 16, lines 20-34, and col. 17, lines 45-50). It would have been obvious to one having ordinary skill in the art at the time the invention was made to have a normalized symbol and to use the normalized symbol to find the matching master symbol and to combine Burakoff's processing the symbol and storing a parent identifier with Reese's normalized symbol because such a modification in Burakoff would allow a user to enter the ticker symbol with the parent ID being the association found within the database.

With respect to claim 14, Burakoff teaches, processing the symbol to generate the master symbol includes the step of applying a set of process rules to the symbol (col. 3, lines 2-13).

With respect to claim 15, Burakoff teaches, the at least one information element is a document (col. 3, lines 38-51).

14.   Claims 16-24 are rejected under 35 U.S.C. 103(a) as being unpatentable over
(US 6,122,635) Burakoff et al, hereafter Burakoff in view of (US 6,236,980 B1) Reese
and further in view of ((US 5,940,843) Zucknovich et al, hereafter Zucknovich.

With respect to claim 16, Burakoff and Reese did not teach, each master symbol
is structured according to a symbol template containing at least one symbol field.
Zucknovich discloses, each master symbol is structured according to a symbol template
containing at least one symbol field (col. 14, lines 23-66 and col. 15, lines 1-5). It would
have been obvious to one having ordinary skill in the art at the time the invention was
made to have each master symbol structured according to a symbol template containing
at least one symbol field and to combine Burakoff's processing a symbol and Reese's
information element with Zucknovich's each master symbol structured according to a
symbol template containing at least one symbol field because such a modification in
Burakoff and Reese would allow Burakoff and Reese to have preset templates for a
user or a group of users from a particular company or geographic area and to have the
template file opened for the characters to be inserted into the template. Templates are
well known in the art for the purpose of being a predesigned document that contains
formatting and in many cases, generic text.

With respect to claim 17, Burakoff and Reese did not teach, each master symbol
includes a symbol segment corresponding to a symbol field defined by the symbol
template. Zucknovich discloses, each master symbol includes at least one symbol
segment corresponding respectively to the at least symbol field defined by the symbol
template (col. 15, lines 8-45).   It would have been obvious to one having ordinary skill
in the art at the time the invention was made to have each master symbol include a
symbol segment corresponding to a symbol field defined by the symbol template and to
combine Burakoff's master symbol and Reese's input symbol with Zucknovich's each

master symbol includes a symbol segment corresponding to a symbol field defined by the symbol template because such a modification in Burakoff and Reese would allow Burakoff 's and Reese's system to have a field for at least one ticker symbol defined in a symbol template. Templates are well known in the art for the purpose of being a predesigned document that contains formatting and in many cases, generic text.

With respect to claim 18, Burakoff teaches, each master symbol refers to a security issued by a company (col. 7, lines 35-40).

With respect to claim 19, Burakoff and Reese did not teach, the symbol template includes a root symbol field referring to the name of a security and a source symbol field referring to a country in which the security is traded. Zucknovich discloses, the symbol template includes a root symbol field referring to the name of a security and a source symbol field referring to a country in which the security is traded (col. 10, lines 33-65). It would have been obvious to one having ordinary skill in the art at the time the invention was made to have the symbol template include a root symbol field referring to the name of a security and a source symbol field referring to a country in which the security is traded and to combine Burakoff's process rules to the symbol and Reese's normalized symbol with Zucknovich's symbol template includes a root symbol field referring to the name of a security and a source symbol field referring to a country in which the security is traded because such a modification in Burakoff and Reese would allow Burakoff 's and Reese's system to have a primary field for the name of the security and another field for the country. The root is known in the art as being the main or uppermost level in a hierarchically organized set of information. The root is known as the point from which subsets (in this case source symbol fields) branch in a logical sequence that moves from a broader focus to narrower perspectives.

With respect to claim 20, With respect to claim 9, Burakoff teaches, the step of storing at least one information element includes the steps of generating an information element identifier, storing the information element identifier and the parent identifier so that the parent identifier is linked to the information element identifier, and storing the information element and the information element identifier so that the information element identifier is linked to the information element (col. 3, lines 29-37 and lines 52-65, col. 4, lines 1-10, and col. 8, lines 43-47).

With respect to claim 21, Burakoff teaches, each symbol segment comprises an ASCII (American Standard Code for Information Interchange) string (col. 9, lines 30-40).

With respect to claim 22, Burakoff and Reese did not teach, the parent identifier is linked to the information element identifier in a relational database. Zucknovich discloses, the parent identifier is linked to the information element identifier in a relational database (col. 7, lines 5-15). It would have been obvious to one having ordinary skill in the art at the time the invention was made to have the parent identifier linked to the information element identifier in a relational database and to combine Burakoff's master symbol linked to the parent identifier and Reese's input symbol with Zucknovich's parent identifier linked to the information element identifier in a relational database because such a modification in Burakoff and Reese would allow Burakoff 's and Reese's system to have a relational database that allows field searching. Relational databases are well known in the database art as being a database that stores information in tables - rows and columns of data - and conducts searches using data in specified columns of one table to find additional data in another table. In a relational database, the rows of a table represent records (collections of information about separate items) and the columns represent fields (particular attributes of a record).

With respect to claim 23, Burakoff and Zucknovich did not teach, if the normalized symbol contains an unresolved segment, searching a contributor database to find a predominant use segment and assigning the predominant use segment to the unresolved segment. Reese discloses, if the normalized symbol contains an unresolved segment, searching a contributor database to find a predominant use segment and assigning the predominant use segment to the unresolved segment (col. 26, lines 14-24, fig. 10C(220) and col. 19, lines 3-17). It would have been obvious to one having ordinary skill in the art at the time the invention was made to have a normalized symbol contain an unresolved segment searching a contributor database to find a predominant use segment and to assign the predominant use segment to the unresolved segment and to combine Burakoff's input symbol and parent identifier and Reese's relational database with Reese's normalized symbol containing an unresolved segment, searching a contributor database to find a predominant use segment and assigning the predominant use segment to the unresolved segment because such a modification in Burakoff and Zucknovich would allow a user to enter the ticker symbol with the parent ID being the association found within the database and to search for another symbol/abbreviation in the database.

With respect to claim 24, Burakoff and Zucknovich did not teach, if the normalized symbol is not found in the master symbol database, searching a database using the input symbol and retrieving a parent identifier linked to the input symbol. Reese discloses, if the normalized symbol is not found in the master symbol database, searching a database using the input symbol and retrieving a parent identifier linked to the input symbol in col. 14, lines 22-34, col. 16, lines 20-34, col. 17, lines 45-50, and col. 39, lines 23-42. It would have been obvious to one having ordinary skill in the art at the time the invention was made to have a normalized symbol not found in the master

symbol database to search a database using the input symbol and retrieving a parent

identifier linked to the input symbol and to combine Burakoff's input symbol and

Zuchnovich's symbol field with Reese's normalized symbol not found in the master

symbol database to search a database using the input symbol and retrieving a parent

identifier linked to the input symbol because such a modification in Burakoff and

Zucknovich would allow Burakoff's and Zucknovich's system to enter a ticker symbol

(an input symbol) and to use the association found within the database to search for the

parent identifier symbol.

Claim Rejections - 35 USC § 103

15.   The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all

obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set
> forth in section 102 of this title, if the differences between the subject matter sought to be patented and
> the prior art are such that the subject matter as a whole would have been obvious at the time the
> invention was made to a person having ordinary skill in the art to which said subject matter pertains.
> Patentability shall not be negatived by the manner in which the invention was made.

16.   Claims 25-29 are rejected under 35 U.S.C. 103(a) as being unpatentable over

(US 6,122,635) Burakoff et al, hereafter Burakoff in view of (US 6,236,980 B1) Reese.

With respect to claim 25, Burakoff teaches, receiving an input symbol (col. 7,

lines 51-57); searching an information element database to find an information element

linked with the parent identifier and retrieving the information element linked to the

parent identifier (col. 3, lines 29-30 and lines 39-45, col. 4, lines 15-19, and col. 10, lines

19-51). Burakoff did not teach, normalizing the input symbol to generate a normalized

symbol formatted according to a predetermined structure and searching a master

symbol database using the normalized symbol to find a matching master symbol and a

parent identifier linked to the master symbol. Reese disclosed, normalizing the input

symbol to generate a normalized symbol formatted according to a predetermined

structure and searching a master symbol database using the normalized symbol to find

a matching master symbol and a parent identifier linked to the master symbol (col. 14,

lines 22-34, col. 16, lines 20-34, col. 17, lines 45-50). It would have been obvious to

one having ordinary skill in the art at the time the invention was made to normalize the

input symbol to generate a normalized symbol formatted according to a predetermined

structure and to use the normalized symbol to search a master symbol database and to

find the matching master symbol and to combine Burakoff's processing the symbol and

storing a parent identifier with Reese's normalized symbol and using the normalized

symbol to search a master symbol database to find the matching master symbol

because such a modification in Burakoff would allow a user to enter the ticker symbol

with the parent ID being the association found within the database.

With respect to claim 26, Burakoff did not teach, determining whether the input

symbol includes an unresolved segment and if the input symbol contains an unresolved

segment, searching a client database to find a client preference segment, and assigning

the client preference segment to the unresolved segment. Reese discloses,

determining whether the input symbol includes an unresolved segment and if the input

symbol contains an unresolved segment, searching a client database to find a client

preference segment, and assigning the client preference segment to the unresolved

segment (col. 19, lines 3-17 and col. 26, lines 14-24). It would have been obvious to

one having ordinary skill in the art at the time the invention was made to determine

whether the input symbol includes an unresolved segment and if the input symbol

contains an unresolved segment, searching a client database to find a client preference

segment, and assigning the client preference segment to the unresolved segment and

to combine Burakoff's receiving an input symbol and searching a database with Reese's

determining whether the input symbol includes an unresolved segment and if the input

symbol contains an unresolved segment, searching a client database to find a client preference segment, and assigning the client preference segment to the unresolved segment because such a modification in Burakoff would allow a user to enter the ticker symbol (an input symbol) and to find an association within the database to find the user's preferred symbol. This claim is also rejected for the similar rationale given for claim 25.

With respect to claim 27, Burakoff teaches, processing the input symbol to generate the normalized symbol includes applying a set of character rules to the input symbol in col. col. 7, lines 41-50. Burakoff did not teach a normalized symbol. Reese discloses, a normalized symbol (col. 14, lines 22-34, col. 16, lines 20-34, and col. 17, lines 45-50). It would have been obvious to one having ordinary skill in the art at the time the invention was made to have a normalized symbol and to use the normalized symbol to find the matching master symbol and to combine Burakoff's processing the symbol and storing a parent identifier with Reese's normalized symbol and using the normalized symbol to find the matching master symbol because such a modification in Burakoff would allow a user to enter the ticker symbol with the parent ID being the association found within the database.

With respect to claim 28, Burakoff teaches, processing the input symbol to generate a normalized symbol comprises applying a set of process rules (col. 3, lines 2-13); processing the input symbol to generate the normalized symbol includes applying a set of character rules to the input symbol (col. col. 7, lines 41-50). Burakoff did not teach a normalized symbol. Reese discloses, a normalized symbol (col. 14, lines 22-34, col. 16, lines 20-34, and col. 17, lines 45-50). It would have been obvious to one having ordinary skill in the art at the time the invention was made to have a normalized symbol and to use the normalized symbol to find the matching master symbol and to

combine Burakoff's processing the symbol and storing a parent identifier with Reese's normalized symbol and using the normalized symbol to find the matching master symbol because such a modification in Burakoff would allow a user to enter the ticker symbol with the parent ID being the association found within the database.

With respect to claim 29, Burakoff teaches, the information element is a document (col. 1, lines 28-40).

17.   Claims 30-36 are rejected under 35 U.S.C. 103(a) as being unpatentable over (US 6,122,635) Burakoff et al, hereafter Burakoff in view of (US 6,236,980 B1) Reese and further in view of view of ((US 5,940,843) Zucknovich et al, hereafter Zucknovich.

With respect to claim 30, Burakoff and Reese did not teach, each master symbol is structured according to a symbol template containing at least one symbol field. Zucknovich discloses, each master symbol is structured according to a symbol template containing at least one symbol field (col. 14, lines 23-66 and col. 15, lines 1-5). It would have been obvious to one having ordinary skill in the art at the time the invention was made to have each master symbol structured according to a symbol template containing at least one symbol field and to combine Burakoff's processing a symbol with Zucknovich's each master symbol structured according to a symbol template containing at least one symbol field because such a modification in Burakoff would allow Burakoff to have preset templates for a user or a group of users from a particular company or geographic are and to have the template file opened for the characters to be inserted into the template. Templates are well known in the art for the purpose of being a predesigned document that contains formatting and in many cases, generic text.

With respect to claim 31, Burakoff did not teach, each master symbol is structured according to a symbol template containing at least one symbol field.

Zucknovich teaches, each master symbol is structured according to a symbol template containing at least one symbol field in col. 14, lines 23-66 and col. 15, lines 1-5. It would have been obvious to one having ordinary skill in the art at the time the invention was made to have each master symbol structured according to a symbol template containing at least one symbol field and to combine Burakoff's processing a symbol with Zucknovich's each master symbol structured according to a symbol template containing at least one symbol field because such a modification in Burakoff would allow Burakoff to have preset templates for a user or a group of users from a particular company or geographic are and to have the template file opened for the characters to be inserted into the template. Templates are well known in the art for the purpose of being a predesigned document that contains formatting and in many cases, generic text. This dependent claim is rejected for the similar rationale given for claim 30.

With respect to claim 32, Burakoff did not teach, each master symbol includes a symbol segment corresponding to a symbol field defined by the symbol template. Zucknovich teaches, each master symbol includes at least one symbol segment corresponding respectively to the at least symbol field defined by the symbol template in col. 15, lines 8-45. It would have been obvious to one having ordinary skill in the art at the time the invention was made to have each master symbol include a symbol segment corresponding to a symbol field defined by the symbol template and to combine Burakoff's master symbol with Zucknovich's each master symbol includes a symbol segment corresponding to a symbol field defined by the symbol template because such a modification in Burakoff would allow Burakoff 's system to have a field for at least one ticker symbol defined in a symbol template. Templates are well known in the art for the purpose of being a predesigned document that contains formatting and in many cases, generic text.

With respect to claim 33, Burakoff teaches, each master symbol refers to a security issued by a company in col. 7, lines 35-40. Zucknovich teaches, each master symbol refers to a security issued by a company in col.2, lines 55-61.

With respect to claim 34, Burakoff did not teach, the symbol template includes a root symbol field referring to the name of a security and a source symbol field referring to a country in which the security is traded. Zucknovich teaches, the symbol template includes a root symbol field referring to the name of a security and a source symbol field referring to a country in which the security is traded in col. 10, lines 33-65. It would have been obvious to one having ordinary skill in the art at the time the invention was made to have the symbol template include a root symbol field referring to the name of a security and a source symbol field referring to a country in which the security is traded and to combine Burakoff's process rules to the symbol with Zucknovich's the symbol template include a root symbol field referring to the name of a security and a source symbol field referring to a country in which the security is traded because such a modification in Burakoff would allow Burakoff 's system to have a primary field for the name of the security and another field for the country. The root is known in the art as being the main or uppermost level in a hierarchically organized set of information. The root is known as the point from which subsets (in this case source symbol fields) branch in a logical sequence that moves from a broader focus to narrower perspectives.

With respect to claim 35, Burakoff teaches, each symbol segment comprises an ASCII (American Standard Code for Information Interchange) string in col. 9, lines 30-40. Zucknovich teaches, each symbol segment comprises an ASCII (American Standard Code for Information Interchange) string in col. 7, lines 16-25.

With respect to claim 36, Burakoff did not teach, the parent identifier is linked to the information element identifier in a relational database. Zucknovich teaches, the

parent identifier is linked to the information element identifier in a relational database in col. 7, lines 5-15. It would have been obvious to one having ordinary skill in the art at the time the invention was made to have the parent identifier linked to the information element identifier in a relational database and to combine Burakoff's master symbol linked to the parent identifier with Zucknovich's parent identifier linked to the information element identifier in a relational database because such a modification in Burakoff would allow Burakoff 's system to have a relational database that allows field searching. Relational databases are well known in the database art as being a database that stores information in tables - rows and columns of data - and conducts searches using data in specified columns of one table to find additional data in another table. In a relational database, the rows of a table represent records (collections of information about separate items) and the columns represent fields (particular attributes of a record).

18.   Claims 37-40 are rejected under 35 U.S.C. 103(a) as being unpatentable over (US 6,122,635) Burakoff et al, hereafter Burakoff in view of (US 6,236,980 B1) Reese.

With respect to claim 37, Burakoff teaches, a storage device in col. 5, 36-39, a network interface in col. 5, lines 40-42, a processor (col. 5, lines 29-30) coupled to the storage device (col. 5, lines 36-39), the processor adapted to: store a database of master symbols, wherein each master symbol is linked to a parent identifier and a document database (col. 6, lines 10-13); receive an input symbol via a network interface (col. 5, lines 39-42 and Fig.2(52)); and storing the document in the document database so that the document is linked to the parent identifier (col. 2, lines 38-65). Burakoff did not teach, normalizing the input symbol to obtain a normalized input symbol formatted according to a predetermined structure and searching a master symbol database using

a normalized symbol to find a matching master symbol and linked parent identifier.

Reese discloses, normalizing the input symbol to obtain a normalized input symbol

formatted according to a predetermined structure (col. 14, lines 22-34) and searching a

master symbol database using a normalized symbol to find a matching master symbol

and linked parent identifier (col.16, lines 20-34 and col. 17, lines 45-50). It would have

been obvious to one having ordinary skill in the art at the time the invention was made

to normalize the input symbol to obtain a normalized input symbol formatted according

to a predetermined structure and to search a master symbol database using a

normalized symbol to find a matching master symbol and linked parent identifier and to

combine Burakoff's processing the symbol and storing a parent identifier with Reese's

normalized symbol and using the normalized symbol to find the matching master

symbol because such a modification in Burakoff would allow a user to enter the ticker

symbol with the parent ID being the association found within the database.

With respect to claim 38, Burakoff did not teach, if the normalized symbol

contains an unresolved segment, searching a contributor database to find a

predominant use segment and assigning the predominant use segment to the

unresolved segment. Reese discloses, if the normalized symbol contains an

unresolved segment, searching a contributor database to find a predominant use

segment and assigning the predominant use segment to the unresolved segment (col.

26, lines 14-24, fig. 10C(220) and col. 19, lines 3-17). It would have been obvious to

one having ordinary skill in the art at the time the invention was made to have a

normalized symbol contain an unresolved segment searching a contributor database to

find a predominant use segment and to assign the predominant use segment to the

unresolved segment and to combine Burakoff's input symbol and parent identifier with

Reese's normalized symbol containing an unresolved segment, searching a contributor

database to find a predominant use segment and assigning the predominant use segment to the unresolved segment because such a modification in Burakoff would allow a user to enter the ticker symbol with the parent ID being the association found within the database and to search for another symbol/abbreviation in the database.

With respect to claim 39, Burakoff teaches, a storage device (col. 5, lines 36-39) storing a master symbol database and a document database (col. 6, lines 10-13), the master symbol database storing master symbols, wherein each master symbol is linked to a parent identifier (col. 4, lines 20-23), and the document database storing documents linked to a parent identifier; a network interface (col. 5, lines 40-42); a processor (col. 5, lines 29-30), which: receives an input symbol via the network interface (col. 7, lines 51-67) and retrieving documents from the document database that are linked to the parent identifier (col. 4, lines 52-65 and col. 6, lines 10-13). Reese discloses, normalizing the input symbol to obtain a normalized input symbol formatted according to a predetermined structure (col. 14, lines 22-34) and searches the symbol database using the normalized input symbol to find a matching master symbol and a linked parent identifier (col. 16, lines 20-34 and col. 17, lines 45-50). This independent claim is rejected for the similar rationale given for claim 37.

With respect to claim 40, this dependent claim is rejected for the similar rationale as given for claim 38.

Claim Rejections - 35 USC § 103

19.   The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

20.   Claims 41 and 42 are rejected under 35 U.S.C. 103(a) as being unpatentable

over (US 6,122,635) Burakoff et al, hereafter Burakoff in view of Official Notice.

With respect to claim 41, Burakoff teaches, receiving a plurality of input symbols,

each pertaining to a same single entity (col. 7, lines 29-40); and for each of the plurality

of input symbols, generating a normalized master symbol (col. 7, lines 61-67).

Burakoff did not teach, storing the parent symbol and the plurality of master

symbols in a master symbol database wherein each of the plurality of normalized

master symbols is linked to the parent symbol. The Office takes Official Notice that it

would have been obvious to one having ordinary skill in the art at the time the invention

was made to store the parent symbol and the plurality of master symbols in a master

symbol database wherein each of the plurality of normalized master symbols is linked to

the parent symbol and to modify in Burakoff because such a modification would allow

Burakoff to have a main symbol for searching and connecting to in the database. A

database by definition is a file composed of records, each containing fields together with

as of operations for searching, sorting, recombining, and other functions.

With respect to claim 42, Burakoff teaches, a processor (col. 5, lines 29-30),

wherein the processor is adapted to: receive a plurality of input symbols, each

pertaining to a same single entity (col. 4, lines 20-24) for each of the plurality of input

symbols, generate a normalized master symbol (col. 7, lines 61-67) determine a unique

parent symbol corresponding to the master symbols (col. 8, lines 42-58).

This claim is also rejected for the similar rationale as claim 41.

Claim Rejections - 35 USC § 103

21.   The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all

obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

22.   Claims 43-49 are rejected under 35 U.S.C. 103(a) as being unpatentable over

Burakoff in view of (US 6,236,980) Reese.

With respect to claim 43, Burakoff teaches, receiving an information element and at least an input symbol (col. 7, lines 5-15); and storing at least the parent identifier and the information element so that the parent identifier is linked to the information element (col. 3, lines 29-30 and lines 39-45, col. 4, lines 15-19, and col. 10, lines 19-51). Burakoff did not teach, normalizing the input symbol, based on a historical pattern of a contributor of the information element, to generate a normalized symbol and searching a master symbol database using the normalized symbol to find a matching master symbol and linked parent identifier. Reese discloses, normalizing the input symbol, based on a historical pattern of a contributor of the information element, to generate a normalized symbol and searching a master symbol database using the normalized symbol to find a matching master symbol and linked parent identifier (col. 16, lines 20-34 and col. 17, lines 45-50). It would have been obvious to one having ordinary skill in the art at the time the invention was made to normalize the input based on a historical pattern of a contributor of the information element, to generate a normalized symbol and to search a master symbol database using the normalized symbol to find a matching master symbol and linked parent identifier and to combine Burakoff's receiving an information element, storing the parent identifier and the information element with Reese's normalizing the input symbol, based on a historical pattern of a contributor of the information element, to generate a normalized symbol and searching a master symbol database using the normalized symbol to find a matching master symbol and

linked parent identifier because such a modification would allow Burakoff to allow a user to enter the ticker symbol with the parent ID being the association found within the database.

With respect to claim 44, Burakoff teaches, receiving an input symbol (col. 7, lines 5-15) and storing at least the parent identifier and the information element so that the parent identifier is linked to the information element (col. 4, lines 52-65). Burakoff did not teach, normalizing the input symbol, based on a preference of a contributor of the information element, to generate a normalized symbol searching a master symbol database using the normalized symbol to find a matching master symbol and linked parent identifier. Reese discloses, normalizing the input symbol, based on a preference of a contributor of the information element, to generate a normalized symbol (col. 14, lines 22-34) and searching a master symbol database using the normalized symbol to find a matching master symbol and linked parent identifier (col. 16, lines 20-34 and col. 17, lines 45-50). It would have been obvious to one having ordinary skill in the art at the time the invention was made to normalize the input symbol, based on a preference of a contributor of the information element, to generate a normalized symbol searching a master symbol database using the normalized symbol to find a matching master symbol and linked parent identifier and to combine Burakoff's receiving an input symbol and storing a parent identifier with Reese's normalized input symbol, based on a preference of a contributor of the information element, to generate a normalized symbol searching a master symbol database using the normalized symbol to find a matching master symbol and linked parent identifier and to modify in Burakoff because such a modification would allow Burakoff to allow a user to enter the ticker symbol with the parent ID being the association found within the database.

With respect to claim 45, this independent claim is rejected for the similar rationale as for claim 43.

With respect to claim 46, this independent claim is rejected for the similar rationale given for claims 43 and 45.

With respect to claim 47, Burakoff teaches, receiving an input symbol (col. 7, lines 5-15); searching an information element database to find an information element linked with the parent identifier (col. 3, lines 29-30 and lines 39-45, col. 4, lines 15-19 , and col. 10, lines 19-51) and retrieving the information element linked to the parent identifier (col. 17, lines 45-50). Burakoff did not teach, normalizing the input symbol, based on an identification of a submitter of the input symbol, to generate a normalized symbol and searching a master symbol database using the normalized symbol to find a matching master symbol and a parent identifier linked to the master symbol. Reese discloses, normalizing the input symbol, based on an identification of a submitter of the input symbol, to generate a normalized symbol (col. 14, lines 22-34) and searching a master symbol database using the normalized symbol to find a matching master symbol and a parent identifier linked to the master symbol (col. 16, lines 20-34 and col. 17, lines 45-50). This independent claim is rejected for the similar rationale as given above for claim 45.

With respect to claim 48, this independent claim is rejected for the similar rationale given above for claims 45 and 47.

With respect to claim 49, this independent claim is rejected for the similar rationale given above for claims 47 and 48.

Response to Arguments

23.   Applicant's arguments filed 10/22/03 have been fully considered but they are not
persuasive.

        1.   Applicants' argue: Burakoff and Zucknovich do not describe "processing a
symbol to generate a master symbol formatted according to a predetermined structure"
or "determining a unique parent identifier corresponding to the master symbol" has been
considered but is not persuasive because it is interpreted Burakoff teaches the claimed
"processing a symbol to generate a master symbol formatted according to a
predetermined structure" in col. 7, lines 35-45 ("a stock ticker symbol is a symbol
assigned by a stock exchange to identify a security. An investor is likely to reference a
security such as a mutual fund by the fund name marketed to the consumer, ..." –
processing a symbol") and "determining a unique parent identifier corresponding to the
master symbol" in col. 4, lines 15-23 ("... receiving an identifier unique to a particular
security (processing a symbol) is a stock ticker symbol (master symbol). The
compliance information is a mutual fund prospectus").

        2.   Applicants' argue: Burakoff does not describe "normalizing the input
symbol to generate a normalized symbol formatted according to a predetermined
structure" or "searching a master symbol database using the normalized symbol to find
a matching master symbol and linked parent identifier" has been considered but is not
persuasive because Burakoff was not used to reject these claim limitations. Reese was
used to reject these claim limitations. It is interpreted that Reese teaches, "normalizing
the input symbol to generate a normalized symbol formatted according to a
predetermined structure" in col. 14, lines 24-34 ("... predetermined data range from the

universe recommendation ...") and "searching a master symbol database using the
normalized symbol to find a matching master symbol and linked parent identifier" in col.
16, lines 20-34 and col. 17, lines 45-50 ("Box 132 identifies the name of the security as
selected ... along with its ticker symbol." –finding a matching symbol).

3.   Applicants' argue: Burakoff and Reese do not describe or suggest a
"processor adapted to" "normalize the input symbol to obtain a normalized input symbol
formatted according to a predetermined structure" or "search the master symbol
database using the normalized input symbol to find a matching master symbol and a
linked parent identifier ahs been considered but is not persuasive for the same reasons
as given above in the response to arguments 1 and 2. A processor by definition is well
known in the art as a central processing unit, microprocessor. Thus it would have been
obvious to one having ordinary skill in the art at the time the invention was made to
have a "processor adapted to" "normalize the input symbol to obtain a normalized input
symbol formatted according to a predetermined structure" or "search the master symbol
database using the normalized input symbol to find a matching master symbol and a
linked parent identifier" and to incorporate in Burakoff because such an incorporation
would allow Burakoff to have a device that interprets and executes instructions to
perform the steps of claims 12-24. However, Reese teaches a "processor" that can be
used for the purpose of "normalizing the input symbol to obtain a normalized input
symbol formatted according to a predetermined structure" and "search the master
symbol database using the normalized input symbol to find a matching master symbol
and a linked parent identifier" in col. 13, line 20.

4.   Applicants' argue: Reese does not disclose or suggest "normalizing the input symbol, based on a preference of a contributor of the information element, to generate a normalized symbol" or "normalizing the input symbol, based on a preference of a submitter of the input symbol, to generate a normalized symbol" in claims 44 and 48 has been considered but is not persuasive because it is interpreted that Reese teaches normalizing the input symbol, based on a preference of a contributor of the information element, to generate a normalized symbol" in col. 14, lines 22-27 ("... the criteria based upon the selection of the user the select query is able to retrieve ... security chosen ...") and "normalizing the input symbol, based on a preference of a submitter of the input symbol, to generate a normalized symbol" in col. 14, lines 27-34 ("..., if a user enters the ticket symbol WDC, the computer apparatus will retrieve ... for Western Digital (WDC). The first subset will consist of the unique ID number of the ... found within the Access database").

In conclusion: The Examiner is entitled to give limitations their broadest reasonable interpretation in light of the Specification (see below):

2111   Claim Interpretation; Broadest Reasonable Interpretation [R-1]

>CLAIMS MUST BE GIVEN THEIR BROADEST REASONABLE INTERPRETATION

During patent examination, the pending claims must be "given the broadest reasonable interpretation consistent with the specification." Applicant always has the opportunity to amend the claims during prosecution and broad interpretation by the examiner reduces the possibility that the claim, once issued, will be interpreted more broadly than is justified. In re Prater, 162 USPQ 541,550-51 (CCPA 1969).<

In an effort to expedite prosecution it is suggested the Applicants' consider incorporating some of the allowable features into the independent claims, such as:

processing a symbol to generate a master symbol and categorical symbol, determining

the unique parent identifier of the master symbol and storing it with the master symbol in

a master symbol database, and storing at least one information element linked with the

unique parent identifier.

Conclusion

24.   **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time

policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE

MONTHS from the mailing date of this action. In the event a first reply is filed within

TWO MONTHS of the mailing date of this final action and the advisory action is not

mailed until after the end of the THREE-MONTH shortened statutory period, then the

shortened statutory period will expire on the date the advisory action is mailed, and any

extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of

the advisory action. In no event, however, will the statutory period for reply expire later

than SIX MONTHS from the mailing date of this final action.

Inquiries

25.   Any inquiry concerning this communication or earlier communications from the

examiner should be directed to Ella Colbert whose telephone number is 703-308-7064.

The examiner can normally be reached on Monday-Thursday from 6:30 am -5:00 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's

supervisor, Vincent Millin can be reached on 703-308-1038. The fax phone number for

the organization where this application or proceeding is assigned is 703-305-7687.

Any inquiry of a general nature or relating to the status of this application or

proceeding should be directed to the receptionist whose telephone number is 703-308-

1113.
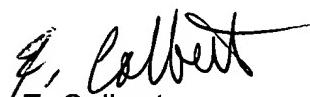
E. Colbert
December 15, 2003

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